



Substitute for form 1449A/PTO (modified)

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets if necessary)

Page 1 of 2

Application Number	10/685049
Filing Date	October 14, 2003
First Named Inventor	Xudong Fan
Art Unit	2814e 2883
Examiner Name	Unknown Mooney
Attorney Case Number	58391US002

**U.S. Patent Documents**

Exam. Init.*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code (if known)			
man	A1	US- 2002/0079453 A1	06-27-2002	Tapalian et al	
	A2	US- 2002/0097401 A1	07-25-2002	Maleki et al	
	A3	US- 2002/0172457 A1	11-21-2002	Tapalian et al	
	A4	US- 6,490,039 B2	12-03-2002	Maleki et al	
mpm	A5	US- 2002/0192680 A1	12-19-2002	Chan et al	
	A6	US-			

**Foreign Patent Documents**

Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-Kind Code (if known)				
man	B1	WO	01/40757 A2	06-07-2001			
	B2						

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Exam. Init.*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
man	C1	JOHNSON, B.R.; "Theory of Morphology-Dependent Resonances: Shape Resonances and Width Formulas", <i>J. Opt. Soc. Am. A</i> (Feb. 1993); Vol. 10, No. 2; pp. 343-352
	C2	LITTLE, B.E., et al; "Pedestal Antiresonant Reflecting Waveguides for Robust Coupling to Microsphere Resonators and for Microphotonic Circuits", <i>Optics Letters</i> (Jan. 1, 2000); Vol. 25, No. 1; pp. 73-75
	C3	LAINE, J.-P., et al; "Microsphere Resonator Mode Characterization by Pedestal Anti-Resonant Reflecting Waveguide Coupler", <i>IEEE Photonics Technology Letters</i> (Aug. 2000); Vol. 12, No. 8; pp. 1004-1006
	C4	BURLAK, G., et al; "Electromagnetic Oscillations in a Multilayer Spherical Stack", <i>Optics Communications</i> , (1 June 2000); Vol. 180; Elsevier Science B.V.; pp. 49-58
	C5	LAINE, J.-P., et al; "Acceleration Sensor Based on High-Q Optical Microsphere Resonator and Pedestal Antiresonant Reflecting Waveguide Coupler", <i>Sensors and Actuators A</i> (2001); Vol. 93; Elsevier Science B.V.; pp. 1-7
	C6	CHAN, S., et al; "Identification of Gram Negative Bacteria Using Nanoscale Silicon Microcavities", <i>Communications to the Editor, Journal of American Chemical Society</i> (Nov. 2001); Vol. 123, pp. 11797-11798
man	C7	BURLAK, G., et al; "Electromagnetic Eigenoscillations and Fields in a Dielectric Microsphere with Multilayer Spherical Stack", <i>Optics Communications</i> (1 Jan. 2001); Vol. 187, Elsevier Science B.V.; pp. 91-105

\*Examiner: *man*Date Considered: *5-23-07*

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msn	C8	CHAN, S., et al; "Nanoscale Silicon Microcavities for Biosensing", <i>Materials Science and Engineering C</i> (2001); Vol. 15, Elsevier Science B.V.; pp. 277-282
	C9	SPILLANE, S.M., et al; "Ultralow-Threshold Raman Laser Using a Spherical Dielectric Microcavity", <i>Letters to Nature, Nature</i> (7 Feb. 2002); Vol. 415, Macmillan Magazines Ltd.; pp. 621-623
	C10	LUGO, J.E., et al; "Porous Silicon Multilayer Structures: A Photonic Band Gap Analysis", <i>Journal of Applied Physics</i> (15 April 2002); Vol. 91, No. 8; pp. 4966-4972
	C11	BURLAK, G., et al; "Transmittance and Resonance Tunneling of the Optical Fields in the Microspherical Metal-Dielectric Structures", <i>Optics Communications</i> (15 May 2002); Vol. 206, Elsevier Science B.V.; pp. 27-37
	C12	VOLLMER, F., et al; "Protein Detection by Optical Shift of a Resonant Microcavity", <i>Applied Physics Letters</i> (27 May 2002); Vol. 80, No. 21; pp. 4057-4059
	C13	KRIOUKOV, E., et al; "Integrated Optical Microcavities for Enhanced Evanescent-Wave Spectroscopy", <i>Optics Letters</i> (Sept. 1, 2002); Vol. 27, No. 17; pp. 1504-1506
	C14	ARMANI, D.K., et al; "Ultra-High-Q Toroid Microcavity on a Chip", <i>Letters to Nature, Nature</i> (27 Feb. 2003); Vol. 421, Nature Publishing Group; pp. 925-928
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**RELATED U.S. APPLICATIONS - DO NOT PRINT**

Examiner's Initials	Serial No.	Filing Date	Title
msn	10/685,208	10-14-2003	POROUS MICROSPHERE RESONATORS

\*Examiner:

Date Considered:

5-23-07

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		Doc. Number-(Kind Code if Known)			
MAN	A1	US- 6,389,197	05/14/2002	Itchenko et al.	
MAN	A2	US- 2002/0041730	04/11/2002	Sercel et al.	
	A3	US-			
	A4	US-			
	A5	US-			
	A6	US-			
	A7	US-			
	A8	US-			
	A9	US-			
	A10	US-			
	A11	US-			

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		Ctry. Code	Number-KindCode (if known)				
MAN	B1	WO	02/16986	02/28/2002			
	B2						
	B3						
	B4						
	B5						
	B6						
	B7						

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	C2		
	C3		

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MAN P.R.

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Art Unit	<del>2814</del> 2883
Examiner Name	Unknown <i>Mooney</i>
Attorney Case Number	58391US002

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		Number-Kind Code (if known)			
<i>mpm</i>	A1	US- 2002/0018611 A1	02-14-2002	Maleki et al	
	A2	US- 6,507,684 B2	01-14-2003	Tapalian et al	
	A3	US- 6,583,399 B1	06-24-2003	Hunziker et al	
	A4	US- 6,657,731 B2	12-02-2003	Tapalian et al	
<i>mpm</i>	A5	US- 2004/0023396 A1	02-05-2004	Boyd et al	
	A6	US-			
	A7	US-			
	A8	US-			

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<i>mpm</i>	C1	KNIGHT, J.C., et al; "Mapping Whispering-Gallery Modes in Microspheres with a Near-Field Probe", <i>Optics Letters</i> (Jul. 15, 1995); Vol. 20, No. 14; pp. 1515-1517
<i>mpm</i>	C2	KAKARANTZAS, G., et al; "Miniature All-Fiber Devices Based on CO <sub>2</sub> Laser Microstructuring of Tapered Fibers", <i>Optics Letters</i> (Aug. 1, 2001); Vol. 26, No. 15; pp. 1137-1139
	C3	
	C4	

\*Examiner:

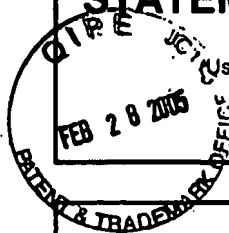
*Mooney*

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	Filing Date	October 14, 2003
	First Named Inventor	Fan, Xudong
	Art Unit	2844 2883
	Examiner Name	Unknown Mooney
	Attorney Case Number	58391US002



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mm	C1	Boyd et al., "Sensitive disk resonator photonic biosensor", Applied Optics, Vol. 40, No. 31, November 1, 2001, pp. 5742-5747.	
	C2	Krioukov et al., "Sensor based on an integrated optical microcavity", Optics Letters, Vol. 27, No. 7, April 1, 2002, pp. 512-514	
	C3	Blair et al., "Resonant-enhanced evanescent-wave fluorescence biosensing with cylindrical optical cavities", Applied Optics, Vol. 40, No. 4, February 1, 2001, pp. 570-582.	
	C4	Yunfeng et al., "Chemical sensors based on hydrophobic porous sol-gel films and ATR-FTIR spectroscopy", Sensors and Actuators B, Elsevier Sequoia S.A., Vol. B36, No. 1, 2, and 3, October 1996, pp. 517-521.	
	C5	Crisan et al., "Sol-Gel Preparation of Thin Films for Integrated Optics", 10 <sup>th</sup> International Symposium on Electron Devices for Microwave and Optoelectronic Applications, 18.-19., November 2002, Manchester, UK., pp. 205-210.	
	C6	Coffer et al., "Strategies Toward the Development of Integrated Chemical Sensors Fabricated from Light Emitting Porous Silicon", Proceedings of the SPIE, Vol. 3226, 1997, pp. 168-179.	
	C7	Shibata et al., "Laser Emission from Dye-Doped Organic-Inorganic Particles of Microcavity Structure", Journal of Sol-Gel Science and Technology, Vol. 8, 1997, pp. 959-964.	
	C8	Wark et al., "Incorporation of organic dye molecules in nanoporous crystals for the development of hexagonal solid state microlasers", Proceedings of the SPIE, Vol. 4456, 2001, pp. 57-67.	
mm	C9	Pipino et al., "Evanescent wave cavity ring-down spectroscopy with a total-internal-reflection microcavity", Review of Scientific Instruments, American Institute of Physics, Vol. 68, No. 8, August 8, 1997, pp. 2978-2989.	

*Examiner: <i>Mis P. Mooney</i>	Date Considered: <i>5-23-07</i>
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Page 1 of 1

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		Doc. Number-(Kind Code if Known)			
mem	A1	US- 2002/0068018	06/06/2002	Pepper et al.	
	A2	US-			
	A3	US-			
	A4	US-			
	A5	US-			
	A6	US-			
	A7	US-			
	A8	US-			
	A9	US-			
	A10	US-			
	A11	US-			

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		Ctry. Code	Number-KindCode (If known)				
mem	B1	WO	01/67565	09/13/2001			
mem	B2	WO	02/13337	02/14/2002			
	B3						
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	C1		
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\*Examiner:

Micha / P. Mooney

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5.23.07

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		Doc. Number-(Kind Code if Known)			
mm	A1	US- 6,781,696 B1	08/24/2004	Rosenberger et al.	
	A2	US- 2004/0091212 A1	05/13/2004	Strecker et al.	
mm	A3	US- 2005/0078731 A1	04/14/2005	Fan et al.	
	A4	US-			
	A5	US-			
	A6	US-			
	A7	US-			
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		Ctry. Code	Number-Kind Code (if known)				
mm	B1	WO	04/38370 A2	05/06/2004			
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M. P. Mooney

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7ma	A1	US- 6,795,481 B2	09/21/2004	Maleki et al.	
	A2	US-			
	A3	US-			
	A4	US-			
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	Attorney Case Number	58391US002

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mpm	A1	US- 2004/0196465 A1	10-07-2004	Arnold et al.	
mpm	A2	US- 2005/0263679 A1	12-01-2005	Fan et al.	
mpm	A3	US- 2005/0265658 A1	12-01-2005	Fan et al.	
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	A5	US-			

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mpm	C1	LUK, J.M.C., et al; "Rapid and Sensitive Detection of <i>Salmonella</i> (O : 6,7) by Immunomagnetic Monoclonal Antibody-Based Assays", <i>Journal of Immunological Methods</i> (1991); Vol.137; pp.1-8.	
	C2	MARTIN, A.L., et al; "Replica-Molded High-Q Polymer Microresonators", <i>Optics Letters</i> (March 15, 2004); Vol. 29, No. 6; pp. 533-535.	
	C3	PETTIPHER, G.L., et al; "Rapid Enumeration of Microorganisms in Foods by the Direct Epifluorescent Filter Technique", <i>Applied and Environmental Microbiology</i> (Oct. 1982); Vol.44, No.4; pp.809-813.	
	C4	PLOWMAN, T.E., et al; "Femtomolar Sensitivity Using a Channel-Etched Thin Film Waveguide Fluoroimmunosensor", <i>Biosensors &amp; Bioelectronics</i> (1996); Elsevier Science Ltd.; Vol.11, No.1/2; pp.149-160.	
	C5	POPESCU, A., et al; "The Gram Stain after More than a Century", <i>Biotechnic and Histochemistry</i> (1996); Vol. 71, No. 3; pp. 145-151.	
	C6	SUMETSKY, M., "Whispering-Gallery-Bottle Microcavities: the Three-Dimensional Etalon", <i>Optics Letters</i> (Jan. 1, 2004); Vol. 29, No. 1; pp. 8-10.	
mpm	C7	TORTORELLO, M.L., et al; "Antibody-Direct Epifluorescent Filter Technique for Rapid, Direct Enumeration of <i>Escherichia coli</i> O157:H7 in Beef", <i>Applied and Environmental Microbiology</i> (Oct. 1994); Vol.60, No.10; pp. 3553-3559.	

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MPM	C8	TORTORELLO, M.L., et al; "Rapid Identification of <i>Escherichia coli</i> O157:H7 in Bovine Feces Using the Antibody-Direct Epifluorescent Filter Technique (Ab-DEFT)", <i>Veterinary Microbiology</i> (1996); Vol.51; pp. 343-349.	
↓	C9	VERNOOY, D.W., et al; "High-Q Measurements of Fused-Silica Microspheres in the Near Infrared", <i>Optics Letters</i> (Feb. 15, 1998); Vol. 23, No. 4; pp. 247-249.	
MPM	C10	XU, G.; "Gram Stain", University of Pennsylvania Health System [on line]; [available on the internet on Oct. 31, 1997]; [retrieved from the internet on Dec. 15, 2004]; URL < <a href="http://www.uphs.upenn.edu/bugdrug/antibiotic_manual/gram.htm">http://www.uphs.upenn.edu/bugdrug/antibiotic_manual/gram.htm</a> >; pp. 10.	
	C11		

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<b>Substitute for form 1449A/PTO (if filed)</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)  Page 1 of 2	<b>Application Number</b>	10/685049
	<b>Filing Date</b>	October 14, 2003
	<b>First Named Inventor</b>	Fan, Xudong
	<b>Confirmation Number</b>	5689
	<b>Attorney Case Number</b>	58391US002

U.S. Patent Documents						
Exam. Init.*	Cite No.	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Doc. Number-(Kind Code if Known)				
MPM ↓ MPM	A1	US-	3,833,284	09-03-1974	Kaminow et al.	
	A2	US-	4,715,672	12-29-1987	Duguay et al.	
	A3	US-	5,077,822	12-31-1991	Cremer	
	A4	US-	6,512,866 B1	01-28-2003	Fan et al.	
	A5	US-	6,594,425 B2	07-15-2003	Tapalian et al.	
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	A7	US-	6,895,135 B2	05-17-2005	Kaneko et al.	
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	A11	US-				
	A12	US-				

Foreign Patent Documents							
Exam. Init.*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation (Check if yes)
		Ctry. Code	Number-KindCode (if known)				
	B1						
	B2						
	B3						
	B4						

OTHER DOCUMENTS			
Exam. Init.*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation (Check if yes)
MPM	C1	GARMIRE, E., et al., "Propagation Losses in Metal-Film-Substrate Optical Waveguides," <i>Journal of Quantum Electronics</i> , Vol. QE-8, No. 10, October 1972, pp. 763-766.	
	C2	KAMINOW, I.P., et al., "Metal-Clad Optical Waveguides: Analytical and Experimental Study," <i>Applied Optics</i> , Vol. 13, No. 2, February 1974, pp. 396-405.	
	C3	OTTO, A., et al., "Modification of the Total Reflection Modes in a Dielectric Film by One Metal Boundary," <i>Optics Communications</i> , Vol. 3, No. 4, June 1971, pp. 254-258.	
MPM	C4	REISINGER, A., "Attenuation Properties of Optical Waveguides with a Metal Boundary," <i>Appl. Phys. Lett.</i> , Vol. 23, No. 5, September 1, 1973, pp. 237-239.	

<b>*Examiner:</b> <i>Mick P. Mooney</i>	<b>Date Considered:</b> 5-23-07
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Substitute for form 1449A/PTO (Unpublished)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)  Page 2 of 2	Application Number	10/685049
	Filing Date	October 14, 2003
	First Named Inventor	Fan, Xudong
	Confirmation Number	5689
	Attorney Case Number	58391US002

OTHER DOCUMENTS			
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mm	C5	SUEMATSU, et al., "Fundamental Transverse Electric Field (TE <sub>0</sub> ) Mode Selection for Thin-Film Asymmetric Light Guides," <i>Appl. Phys. Lett.</i> , Vol. 21, No. 6, September 15, 1972, pp. 291-293.	
mm	C6	TIEN, P., et al., "Novel Metal-clad Optical Components and Method of Isolating High-Index Substrates for Forming Integrated Optical Circuits," <i>Appl. Phys. Lett.</i> , Vol. 27, No. 4, August 15, 1975, pp. 251-253.	
mm	C7	YONEYAMA et al., "Nonradiative Dielectric Waveguide Circuit Components" <i>International Journal of Infrared and Millimeter Waves</i> , Vol. 4, No. 3, (1983), pp. 439-449.	

*Examiner: <i>Michael P. Mooney</i>	Date Considered: <i>5-23-07</i>
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Substitute for form 1449A/PTO (modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)  Page 1 of 1	Application Number	10/886049
	Filing Date	October 14, 2003
	First Named Inventor	Fan, Xudong
	Confirmation Number	5889
	Attorney Case Number	58391US002

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Exam. Init.*	Cite No.	Document Number Doc. Number-(Kind Code if Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
mm	A1	US- 6,901,101 B2	05-31-2005	Frick	
mm	A2	US- 2003/0082237 A1	05-01-2003	Cha et al.	
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	A4	US-			
	A5	US-			
	A6	US-			
	A7	US-			
	A8	US-			
	A9	US-			
	A10	US-			

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		Ctry. Code	Number-Kind Code (if known)				
	B1						
	B2						
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	B5						

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mm	C1	CHAN, S., et al. "Porous Silicon Microcavities for Biosensing Applications," <i>Physical Status Solid</i> , Vol. 182, (2000) pp. 541-546.	
	C2	DE STEFANO, L., et al., "Optical Sensing of Flammable Substances Using Porous Silicon Microcavities," <i>Materials Science and Engineering</i> , Vol. 100, July 25, 2003, pp. 271-274.	
mm	C3	MULLONI, V., et al. "Porous Silicon Microcavities as Optical Chemical Sensors," <i>Applied Physics Letters</i> , Vol. 76, No. 18, May 1, 2000, pp. 2523-2525.	

*Examiner: <i>Michael P. Mooney</i>	Date Considered: <i>5-23-07</i>
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Substitute for form 1449A/PTC (modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)  Page 1 of 1	Application Number	10/685049
	Filing Date	October 14, 2003
	First Named Inventor	Fan, Xudong
	Confirmation Number	5689
	Attorney Case Number	58391US002

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		Doc. Number-(Kind Code if Known)			
MFM	A1	US- 2002/0044739	04/18/2002	Vahala et al.	
	A2	US-			
	A3	US-			
	A4	US-			
	A5	US-			
	A6	US-			
	A7	US-			
	A8	US-			
	A9	US-			
	A10	US-			
	A11	US-			
	A12	US-			

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		Ctry. Code	Number-KindCode (If known)				
MFM	B1	GB	2 293 883	04/10/1996			
	B2	GB	2 387 130	10/08/2003			
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	C2		
	C3		

*Examiner: <i>Michael P. Morgan</i>	Date Considered: <i>5-23-07</i>
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Substitute for form 1449A/PTO (Modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)  Page 1 of 1	<b>Application Number</b>	10/685049
	<b>Filing Date</b>	October 14, 2003
	<b>First Named Inventor</b>	Fan, Xudong
	<b>Confirmation Number</b>	5689
	<b>Attorney Case Number</b>	58391US002

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MEM	A1	US- 6,865,317	03/08/2005	Vahala et al.	
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	A10	US-			
	A11	US-			
	A12	US-			

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	C2		
	C3		

<b>*Examiner:</b> <i>Min P. Mou</i>	<b>Date Considered:</b> <i>5.23.07</i>
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